



Contents

What is the COOP/ Who can activate it?	1
Who is in charge of the <u>OIG</u> if the IG is not available?	2
Who is in charge of the <u>Offices</u> in an emergency?	2
What do we need to do before COOP activation?	2
What essential functions do we have after COOP activation?	3
When and where do employees report back to work after COOP activation?	3
When and how will we test the COOP?	4
Who will call us if the COOP is activated (or deactivated)?	4
What kind of COOP warning may we get?	4
Appendix 1 – Vital Records and Systems	A1
Appendix 2 – Employee Health and Safety	A2

What is the COOP/Who can activate it?

Replacing all previous versions, this *Continuity of Operations Plan (COOP)* explains how the OIG will continue Washington, D.C. operations at alternate locations when unable to occupy its 740 15th Street, NW, offices. It complies with *Executive Order (EO) 12656*, Assignment of Emergency Preparedness Responsibilities (November 18, 1988), and *Presidential Decision Directive (PDD) 67*, Enduring Constitutional Government and Continuity of Government Operations (October 21, 1998). *EO 12656* requires us to appoint a senior official as Emergency Coordinator and prepare emergency plans. *PDD 67* requires us to be able to perform essential functions during a disruption of normal operations.

The Office of Management (OM) will update the 740 15th Street, NW, COOP annually. The Boston office and Inspectors General Auditor Training Institute need to provide OM with their COOPs whenever they update them. Refer requests for copies or inquiries on the COOP to Counsel.

The President of the United States, the Secretary of the Treasury and the Inspector General (IG) (or each person's successor) has the authority to activate the Treasury OIG COOP, ultimately through direction to the Assistant Inspector General for Management (AIGM), who serves as the overall OIG COOP coordinator. The AIGM will then inform senior OIG managers precisely when and how to proceed.

Who is in charge of the OIG if the IG is not available?

The following order of succession authorizes successors, in the order shown, to exercise the powers and perform the duties of the IG if he is absent, disabled, or if the IG position is vacant.

Order	Title of Position Assigned	
1	Inspector General (IG)	Harold Damelin
2	Deputy Inspector General (DIG)	Dennis Schindel
3	Assistant Inspector General for Investigations (AIGI)	Nick Swanstrom
4	Assistant Inspector General for Audit (AIGA)	Marla Freedman
5	AIGM	Adam Silverman
6	Counsel to the Inspector General (Counsel)	Richard Delmar

In an emergency, consider the IG absent when he is away from the office, and;

- He has notified the next successor that he will be unavailable to perform the official duties of the office, or;
- The next successor cannot reach him when someone needs to take prompt action in the name of the IG.

Who is in charge of the Offices in an emergency?

If absent, disabled, or if their positions are vacant, when the COOP is activated, the AIGA, AIGI, and AIGM, and Counsel pre-delegate their authorities for making leadership and policy decisions to the successors below. Additionally, Offices need to maintain a more thorough chain of command for Office use.

Office of Audit

Order	Title of Position Assigned	
1	AIGA	Marla Freedman
2	DAIG for Performance Audit	Robert A. Taylor, Jr.
3	DAIG for Financial Management and IT Audit	Joel Grover
4	Director of Audit	Donald Benson

Office of Investigations

Order	Title of Position Assigned	
1	AIGI	Nick Swanstrom
2	Deputy AIGI	Brian Crane

Office of Management

Order	Title of Position Assigned	
1	AIGM	Adam Silverman
2	Deputy AIGM	Debra McGruder

Office of Counsel

Order	Title of Position Assigned	
1	Counsel	Richard Delmar
2	Deputy Counsel	Cynthia Langwiser

What do we need to do before COOP activation?

- Deputy AIGM lists contact information for the IG, DIG, AIGA, AIGI, AIGM, Counsel, and all OM employees; DIG, AIGA, AIGI, and Counsel maintain contact lists for their employees. Employees update HR Connect with their emergency contact information.
- All AIGs and Counsel need to maintain offsite any essential cuff records (documents and data not stored centrally on the computer network servers – the “O: drive”) to reconstitute day-to-day operations and ensure that their employees maintain all laptops offsite outside of work hours so they are available for COOP network access.
- Deputy AIGM arranges for COOP site workspace and furniture, including table space, chair, 2 square feet of file storage, and basic office supplies for the IG or DIG, and the AIGI.
- Information Technology Officer coordinates (and tests quarterly) for COOP server space and connectivity at Martinsburg and/or Boston; telephones; laptop computers with Microsoft Office/Outlook/Internet Explorer; backed-up computer data (specifically the contents of the O: and H: drives); fax capability (via computer); printer/scanner; Virtual Private Network (VPN) access and service; dial-up internet service provider service; and the following (electronic only) systems, databases, and files:

OIG-wide: Correspondence Management system

OA: Teammate (Monthly Status Reports and Audit Reports are on the O drive)

OI: 1) Investigative Data Systems, 2) Unit Case files, 3) Investigation Case files

OM: Inte-Great Property Management System

Counsel: 1) Litigation, 2) FOIA, 3) ethics training, 4) financial disclosure, 5) Giglio

- Deputy AIGM/ITO confirms routine backing up of vital information listed in Appendix 1.
- Travel card and purchase cardholders maintain cards offsite outside of normal work hours. (Most employees tend to secure these in their personal wallets.)

What essential functions do we have after COOP activation?

Within 1 day of activation

The OIG's essential functions include:

Conduct criminal and other investigations of physical or cyber-related attacks against non-IRS Treasury employees, IT-related critical infrastructure, and property by employees, contractors, and others.

Conduct criminal and other investigations of non-IRS Treasury attempted and actual network intrusions, cyber attacks (i.e., denial of service, etc.), and other cyber-related (i.e., phishing, etc.) crimes by employees, contractors, and others.

Conduct criminal and other investigations (or support) by detailing Treasury IG criminal investigators (and/or support staff) to other law enforcement, national security or emergency response assets that would first have an impact (or pose a threat to) any Treasury-wide matter (or concern) then rolling-up similar support to the other branches of the federal government (primarily, the Executive Branch).

- ITO ensures the IG has the ability to communicate by voice, individually and by teleconference, with the Secretary, Deputy Secretary, DIG, AIGA, AIGI, AIGM, and Counsel.
- Locate DIG/AIGI at COOP site in West Virginia on the first floor with other senior officials.
- Once established, the DIG, AIGA, AIGI, AIGM, and Counsel communicate by teleconference coordinated by the AIGM at least every Monday, Wednesday, and Friday, at 10:00 a.m., Eastern Standard Time.
- Deputy AIGM provides and tracks any needed travel authorizations verbally.
- AIGs attempt to secure all weapons, cars, work papers, case files, sensitive information, and laptop computers.
- All employees plan to telework until instructed otherwise.

Within 7 days of activation

- Deputy AIGM/ITO ensure the IG, DIG, AIGA, AIGI, Counsel, Deputy AIGM, Budget Officer (BO), Human Resources Officer (HRO), ITO, and any AIG/Counsel—selected employees have home/hotel/government workspace available and are in touch by voice and email with each other and Treasury officials.
- ITO restores backup tapes to remote server in Martinsburg or Boston for Virtual Private Network and/or dial up access by employees with laptop.
- Deputy AIGM accesses Property Plus; BO accesses funds expenditure spreadsheets; HRO ensures employees get paid; ITO activates and AIGI monitors OIG Hotline; all OM employees access BPD web services as needed.

Within 30 days of activation

- Deputy AIGM and ITO ensure all employees have workspace (government-provided or home) and the ability to communicate by voice, fax, email, and postal mail with each other and Treasury employees.

Within 60 days of activation, some capability to:

Conduct Audits and Investigations	Manage discovery/document production
Prepare semiannual reports to Congress	Prepare Giglio requests for the US Attorney
Provide for ethics training	Monitor financial disclosure process
Litigate	Coordinate with Bureaus, Department and Congress
Provide basic administrative support	Have routine computer network services and TECS access

100 percent capacity expected within 180 days

When and where do employees report back to work after COOP activation?

Your supervisor will let you know where/when to report. You will work at Main Treasury; OIG Headquarters at 740 15th Street, NW; the Boston field audit office; McLean; Martinsburg; a hotel or other office space; or from your home. We expect to follow the timelines above.

Main Treasury

Address: 1500 Pennsylvania Avenue, NW, Washington, D.C. 20220
Phone: (202) 622-1090

McLean

Address: 7598 Colshire Drive, McLean, VA
Phone: (703) 747-2285

Constitution Avenue west to the Roosevelt Bridge; exit to I-66 West (left lane) to exit to VA-267 West, to VA-123 toward Tysons Corner; left at second light onto Colshire Drive; up hill; two-story red brick building on left is site; to park, up hill to circle and around to the left under skyway; through stop sign; first left into parking garage on left; to bottom floor; park in any spot; sidewalk to two-story red brick building. (small sign: "To Johnson II and TRW".)

Martinsburg

Address: 250 Murall Drive, Kearneysville, WV
Phone: (304) 260-3247

Constitution Avenue west to the Roosevelt Bridge; exit to I-66 West (left lane) to I-81 North; to WV-9 East (Martinsburg); through Martinsburg to right on to Short Road; to left on to Murall Drive to the MCC gate.

When and how will we test the COOP?

OM will provide the COOP to all OIG employees annually. Selected employees will establish their essential functions at alternate locations as part of Departmentwide COOP exercises annually. Most employees will not participate in the COOP exercise.

Who will contact us if the COOP is activated (or deactivated) by phone and/or email?

- The AIGM will contact the IG, DIG, AIGA, AIGI, Counsel, and OM employees.
- The DIG will contact front office employees.
- The AIGA will contact the DAIGAs and the Director of Audit Operations.
- The DAIGAs will contact their respective Audit Directors who will contact Audit employees.

- The AIGI will contact Investigations managers who will contact Investigations employees.
- The DIG, AIGA, AIGI, and Counsel need to confirm to the AIGM they have contacted all of their employees.

WHEN ACTIVATED, AIGM/Deputy AIGM WILL POST UPDATED COOP INFORMATION TO (202) 927-5200

What kind of COOP warning may we get?

You may get in-person, telephone, cell phone, pager, personal digital assistant, and/or email warnings during or after office hours. Supervisors will make every effort for a person-to-person contact.

During office hours

With Warning we will notify you and monitor the situation. When not life threatening, collect any documents and data that you want to take with you and turn off computers. We will prepare for the COOP site and tell you what to do.

Without Warning an emergency could prompt us to leave in a hurry. If so, go home if you can and we will contact you to tell you what to do. If you can't go home, institute shelter-in-place procedures.

During non-office hours

When the AIGM learns of an emergency requiring the COOP, he will consult with the IG and prepare a notification. If the warning does not reach a significant number of employees, the Deputy AIGM will send a global voice mail, leave a status message on the OM main phone number (202-927-5200), and/or contact radio and television stations for broadcast. The ITO may post a message on the OIG public web site at <http://www.ustreas.gov/offices/inspector-general/>. The Department may operate an alternate information line at 877-436-5566.

Types of warning messages

An Alert Message alerts you when a situation exists that may require us to activate the COOP. You won't need to respond, but please review the COOP and prepare to receive a Notification Message.

A Notification Message notifies you of activation. You will respond and prepare for COOP site operations.

When alerting/notifying employees, callers need to read the following message:

"This is an actual emergency alert/notification message:

1. This is (your name). (Name and position) ('may activate' or 'has activated') the OIG Continuity of Operations Plan as the result of (brief description of the triggering threat or incident).
2. Please stand-by for further instructions, or we have activated site (insert site name).
3. (Additional instructions [if any])
4. Do you have any questions regarding your responsibilities? (Resolve questions)
5. ****NOTE TO CALLER**** If you speak to voicemail or someone other than the employee on your list, request the following:

Please have (name of employee) call (your name) at (your number) to confirm receipt of this message.

This is an actual emergency alert/notification message."

Callers, please:

1. Call each employee on your list.
2. Ask each to write down your message.
3. Read the Alert or Notification message (above) to each.
4. Ask the employee to read the message to you to ensure its accuracy.
5. If you do not reach the employee, but reach voicemail, leave the entire message by voicemail.
6. If you do not reach the employee, but reach another person, leave the entire message with the other person, ensuring that they write down the message and read it back to ensure its accuracy. Ask them to deliver the message to the person who you called as soon as possible. Also, ask the person to have the employee call back to confirm receipt of the message.
7. Make every attempt to reach every employee on your list.

Appendix 1 – Vital Records and Systems

Record Name (on O: H: when electronic)	Media Type	Back-up Location 1	Back-up Location 2	Update Frequency	Responsible Person
Correspondence and legal case management systems	Tape	VA SOS to VA/WV/Bos	Bos to VA/WV/Bos	D/W/M	ITO
Discovery/Document Production Orders	Paper	Counsel	Counsel		Counsel
Employee personal electronic files	Tape	VA SOS to VA/WV/Bos	Bos to VA/WV/Bos	D/W/M	ITO
Ethics training	Paper	Counsel	Counsel		Counsel
Financial disclosure	Paper	Counsel	Counsel		Counsel
FOIA Requests	Tape Paper	Counsel	Counsel	D/W/M	Counsel
Giglio - Requests from US Attorney	Paper	Counsel	Counsel		Counsel
IG Subpoenas	Paper	Counsel	Counsel		Counsel
Inte-Great Property Management System	Tape	VA SOS to VA/WV/Bos	Bos to VA/WV/Bos	D/W/M	ITO
Investigative Data Systems	Tape	VA SOS to VA/WV/Bos	Bos to VA/WV/Bos	D/W/M	ITO
Litigation Files	Paper	Counsel	Counsel		Counsel
OIG Policies and Forms	Tape	VA SOS to VA/WV/Bos	Bos to VA/WV/Bos	D/W/M	ITO
Special Investigation Division Case Files	Tape	Counsel	Counsel		Counsel
TEAMMATE	Tape	VA SOS to VA/WV/Bos	Bos to VA/WV/Bos	D/W/M	ITO
Time and Attendance	Tape/floppy? Paper	VA SOS to VA/WV/Bos Timekeeper	Bos to VA/WV/Bos	D/W/M	ITO
Unit Case Files	Tape Paper	Agencies Agencies		D/W/M	ITO AIGI

SOS: Secure Offsite Storage

D/W/M: Daily, Weekly, Monthly; O: and H: electronic files to tape and removed from 740 15th Street daily; to Secure Offsite Storage weekly; and to Boston Field Office Monthly.

Appendix 2 – Employee Health and Safety

1. How will the OIG protect the health and safety of its employees?

OIG:

- Maintains and drills emergency evacuation and shelter-in-place plans regularly.
- Monitors Departmental Office emergency radio frequencies and receives emergency communications via telephone and email/Blackberry.
- Leased office space contains stored water, food, radios, battery operated lighting, and evacuation hoods.
- Participates fully in Departmental emergency preparedness activities.
- Has a support agreement approved to use Department of Health and Human Services, Public Health Service clinics?

2. What are the OIG's essential functions and services, and how will these be maintained in the event of significant and sustained absenteeism?

See page 3 (above).

3. How will the OIG support the federal response to a pandemic?

OIG's Criminal Investigators will, in accordance with the National Response Plan and/or tasking by the Attorney General, augment and perform law enforcement duties as necessary to ensure for public health and safety – primarily, at federal facilities first and other key infrastructure locations the government is dependent upon during a pandemic situation. Normally, it is projected that most law enforcement assets, regardless of jurisdiction, will be overwhelmed and primary law enforcement officer (LEO) support will shift to National Guard/Department of Defense personnel with LEOs doing specialized escort duty (e.g., special medications, physician security, etc.).

4. How and what will the OIG communicate to its stakeholders during a pandemic?

In accordance with tested calling trees, OIG leadership will communicate with OIG employees and Department officials using laptop computers, Blackberry two-way devices, cellular telephones, and land-line telephones.